

- PD-ABQ-610 -

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To "Barbara Krell" <bkrell@usaid.gov>, "Brenda Fisher"
Date Wed, May 6, 1998 4 19 PM
Subject fwd DROC Draft Integrated Transition Plan (Alternative R4)

Original Text

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The DROC Transition Plan has been reviewed by the CDO Alfreda Brewer and is being distributed as a hard copy

Please note this is not an "R4" While USAID/Congo cannot (and is not expected to) meet all R4 Guidelines, However, we did want to utilize the R4 process as an opportunity to understand the parameters of the USAID program to the Congo

John Grazel notes that this is a draft, and hopes to produce a final version the week of May 13th before arriving in AID/W o/a May 20th Per the Mission's request the discussion of the Congo Program is scheduled to be held on May 26th (NOT May 27th) as indicated in the cover note

Should you have any questions/comments, please pass to Alfreda Brewer with a cc to AFR/DP DASmith

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MEMO

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DATE: 4/30/98**FAX: 202 - 216 - 3268****TO : Via Alfreda Brewer / AFR**
See Distribution List**FROM: John Grayzel /USAID/DROC** *John Grayzel***SUB: Draft USAID Integrated Transition Plan**

USAID has prepared the attached draft as a working document. It is intended both to initiate dialogue on the specific direction for future USAID assistance to the Congo and to obtain concurrence on assistance that can be provided in the immediate future.

USAID's "R4" document review is the usual basis for Agency Review and Agreement on strategies, performance, resources and authorities for specific programs. Initial consultations with USAID/W recognized that an "R4" was not feasible for transition programs such as the Congo; especially those just gearing up. In fact, given that many other processes, from decisions on waivers to the development of the US Mission Performance Plan, have yet to be completed, the ideas presented are themselves inherently "transition proposals". Substantial changes may occur in the months to come.

This document has therefore been cast as an Integrated Transition Plan (ITP). The intent of an ITP is to recognize that while USAID/ Congo cannot meet all R4 guidelines, a transition period for the Congo is already in process. Under such circumstances, insofar as possible, there is needed a clear, integrated understanding and agreement on principles, general directions and specific objectives for the most effective application of resources in the face of a multiplicity of differing constraints, needs, promises and expectations.

Given USAID's very limited staff, duplication of efforts has to be avoided. Therefore, this document is intended to serve a multiplicity of needs and audiences. In addition to its internal use it is intended to serve as a basic reference document for any party interested in understanding the parameters of the USAID program to the Congo. It is also intended to be the basis for taking immediate actions to negotiate partnerships and mechanisms for providing assistance in identified areas.

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USAID

MAY 02, 1998 08:22 P 4

FROM : USAID/KINSHASA

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Suggestions are welcome on the form and substance of the document, whether to improve, supplement or comment on it.

This draft is being distributed as of April 30. Comments are solicited by May 12 so that they can be considered when the next draft is produced the week of May 13. I am scheduled to be in USAID/W O/A May 20. The discussion of the draft ITP is scheduled for May 27. However, preliminary discussions before May 27 with any interested parties are welcomed and can be arranged through Alfreda Brewer.

BEST AVAILABLE COPY

Integrated Transition Plan (ITP) - USAID / D.R. Congo DRAFT April 30, 1998 (4.01)

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Integrated Transition Plan (ITP) USAID / D.R. Congo DRAFT April 29, 1998 16:52**I. PREFACE**

The Democratic Republic of the Congo (DROC) straddles Central Africa as a massive social and geographic jigsaw puzzle posed upon a immense base of natural resources. Often it seems tottering and ready to fragment into a myriad of independent pieces. Yet from an historically perspective there is a striking continuity to its peoples being repetitively subjected to alternating reigns of personalities and paternalism, chaos and authoritarianism. With no real power to positively determine their rules or rulers, the Congolese people have endured the dissolution of traditional kingdoms; the brutal extractive pursuits of King Leopold, the creation of a highly centralized stratified colonial state, the political turbulence surrounding sudden independence, and finally the thirty years of cold war era internal and external manipulative politics under the tutelage of General Mobutu.

The sudden removal of General Mobutu with the arrival of the Alliance of Democratic Forces for the Liberation of the Congo (AFDL) resulted in the emergence nationally and internationally of hope for a new and better future. Under General Mobutu much was lost. This included over 15,000 kilometers of passably roadways; the meaningful functioning of major public and private institutions; and the "Diaspora" of many trained Congolese. Yet today the country also has not only a new government but a significant number of educated people (compared with 3 University graduates in 1960) and the emergence of a plethora of citizen, church and local authorities that have kept the people and its society alive.

The AFDL swept into power so rapidly, that little opportunity existed to develop national policy goals, or to engage with the vast majority of the Congolese people regarding its policies. The senior levels of government are filled with a mix of people with extraordinarily different backgrounds, experiences and perspectives. Some have spent years in the bush, fighting a low-level guerrilla war, others are the "Diaspora" who have spent years studying and working in the West; still others have spent their recent years in "Zaire" either in the public sector or the private sector. Some have extensive management experience, many have little to none. Some come with long-standing, strongly held political beliefs. These beliefs range from support for a strong central government and a planned economy, to support for a decentralized political structure and a laissez-faire economy. Some favor practical compromise with international institutions, others adopt a "purist" approach and seem to invite confrontation. Likewise the perspectives of bilateral donors, international NGOs, and multi-lateral institutions vary dramatically.

Today the question is whether the diverse players will face-off with each other over their different perceptions and positions or together face up to the need for a multiplicity of partnerships to pave the paths on which the Congolese people can move forward towards the construction of a modern, open economy and a stable, pluralistic society. During this transition period, the challenge is to assure the triumph of diverse cooperation and collaborative approaches over either renewed conflicts or the reimposition of stifling government policies and practices. Only if such stable progress in governance is made will substantial investment in solid systematic efforts for sustainable economic and social improvements become financially viable and developmentally justifiable.

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II. INTRODUCTION

Enormous challenges: The Democratic Republic of the Congo faces enormous challenges after decades of mismanagement, misrule, and despotism. The economy has collapsed, and civil strife inside the country and in neighboring countries continues to pose serious problems. Yet hope for a brighter future exists, and the vast majority of Congolese citizens are expecting a better tomorrow for the first time in years. Most importantly, many people are eagerly seeking ways to contribute, personally and collectively, to that better tomorrow

Today the Congo faces the challenge of reassembling itself in a coherent fashion from a yet undefined combination of old, new and yet unknown. It faces the challenge of doing so in a rapidly and continually changing world from which it has been substantially isolated

Global implications: From an economic perspective the Congo is the sleeping giant of Africa. From a health perspective it is one of the last refuges of devastating infectious diseases such as polio. From an environmental perspective its tropical forest and massive river system are among the remaining lungs and arteries of the tottering global environmental system. From a political position, it sits astride the continent as a block and battlefield of regional political developments.

The need for engagement: There is no other positive response but engagement. Further isolation will only make the problems worse. But what to do and how to do it? The "what" is generally known and agreed to by all concerned: it includes infrastructure, health, education and productive investment. The "how" is the most important: for the solutions must come from the various sectors of Congolese society working together to rebuild their country

USAID program goals in the Congo: USAID/DROC's programs are intended to promote

- [] a successful transition from authoritarianism to democracy,
- [] security under the rule of law,
- [] economic recovery through a strong private sector and stable macroeconomic management,
- [] social recovery through activities such as meeting urgent health needs,
- [] local and regional initiatives, and
- [] effective responses to global issues such as protecting the environment and controlling the spread of virulent infectious diseases.

To be effective, work in many of these areas requires engagement with both governmental and non-governmental actors. USAID/DROC programs should will address these goals in a mutually reinforcing fashion

Uncertainty abounds — flexibility essential: USAID must develop a series of highly flexible programs that can respond to evolving events. At present uncertainty reigns. The uncertainty of government policies (both Congo and US) and the uncertainty of internal and external factors will continue for the foreseeable future. A prime example of this flexible approach is the effort of the Office of Transition Initiatives (OTI) in the Congo. The overall USAID/DROC program will be operating initially in this transition environment. The USAID/DROC mission will be learning with OTI and building on OTI's efforts

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III. STRATEGIC GOAL AND UNDERLYING THEMES

A. Statement of Country Strategic Goal:

The overall strategic objective of the USAID mission in the Congo is:

The successful transition to a stable nation experiencing increasingly broad benefits from improving social and economic conditions. (S.O. 1)

Broken down into its component parts, this objective raises several important points

First, the objective notes that the Congo is in transition and is not currently stable. Any strategic response to this current situation must emphasize flexibility in virtually all aspects of program development. Stability means different things for different people. One measure of stability will be the level of security of borders, of people, and of belongings. The challenge will be to bring order while allowing for dynamic change.

The second point is the importance of providing real assistance, assistance that brings tangible benefits to people's lives in the near term. This assistance must do no long-term harm (e.g. providing food aid that undermines local agricultural production). Tangible improvements today, in public health services or in roads for example, are important to alleviate real suffering and to help restart the national economic engine.

The third implicit goal is to help build effective democratic structures that are the necessary underpinnings of a "stable nation." Local reconstruction efforts that are broadly participatory can be the building blocks of democracy and good governance. USAID must also be prepared to assist the national government with implementing elections, "rule of law" and effective administration.

B. Overarching principles

Even in complex transition situations, a strategy can be guided by a number of overarching principles. For both practical and philosophical reasons, the following principles should guide USAID's work in the Congo.

1. Participation, transparency and "good governance" Efforts should facilitate the participation of key stakeholders in decision-making at the national, provincial, municipal and community levels, as appropriate. Good governance suggests, among other things, transparency and respect for "rule of law" in transactions in all sectors including the public sector, civil society and the private sector.

2. Individual opportunity and responsibility An emphasis on the rights and responsibilities of individuals vis à vis the society as a whole is critical. For individuals to move from doing things the "Zairean" way to the "Congolese" way, they must be provided with the opportunity to change, but also must be held accountable for their own actions.

3. Equality and inclusion Ending discrimination based on ethnicity and gender must be a priority. USAID should not only assure that the programs it supports do not permit discrimination, but should also support programs that facilitate inclusion of women, and cooperation between ethnic groups.

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C. Underlying program principles:

- 1 Strategy and program development for the next year should derive from an articulated set of principles and the outcomes of local, provincial and national processes that involve the various sectors of the Congolese society
- 2 Programming must remain extremely flexible and responsive.
- 3 Programming should facilitate and/or support processes that bring together, as appropriate, representatives of government, civil society and the private sector to collectively identify and prioritize needs and solutions. These processes should be managed and facilitated by Congolese to the fullest extent possible
- 4 Activities should assist in the implementation of the solutions identified. Assistance could come in the form of technical support or partial funding for specific elements of implementation. An emphasis should be placed on mobilizing local resources and involving other donors. Congolese should manage the implementation of solutions to the fullest extent possible.
- 5 Solutions should take into account long-term management and the sustainability of any project beyond initial funding. Exceptions may be made in the case of an immediate humanitarian crisis (e.g. a natural disaster). But even emergency assistance should help the Congo build its own emergency response.
- 6 Development efforts should be in cooperation with the national, provincial or local government, as appropriate. Broad efforts to support civil society at the exclusion of the government will only exacerbate tensions between those two sectors, and will likely be counterproductive.

D. Underlying program themes

In addition to an overall focus on "good governance" several other themes should underlie the program work here in the Congo.

- 1 More than anything else, Congolese are asking for immediate assistance in rebuilding the destroyed infrastructure of this country, so that the economy can be relaunched. The Congolese people are confident about the human talent and entrepreneurial spirit that exists in this country, if only that talent and spirit could be allowed to go to work
- 2 Engagement requires tangible assistance in projects that meet real needs today, while planning for tomorrow. Assistance must be provided quickly to demonstrate good faith, while not violating the principles articulated at the beginning of this section. USAID must be, and be seen as, a flexible, engaged player today even if complete and comprehensive program plans cannot be developed for the time being.
- 3 Programs must engage the youth and younger adults of this country -- people from age of 15 to 40. (70% of the population is under 25) While the country has crumbled, the world has changed dramatically and left the Congo isolated and far behind the times. Fundamental changes have taken place in a wide range of areas from technology and communication to

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trade and world financial markets. Programming must focus on providing this generation with opportunities to learn about, and participate in, the modern world.

IV. SECTORS FOR MISSION PROGRAMMING

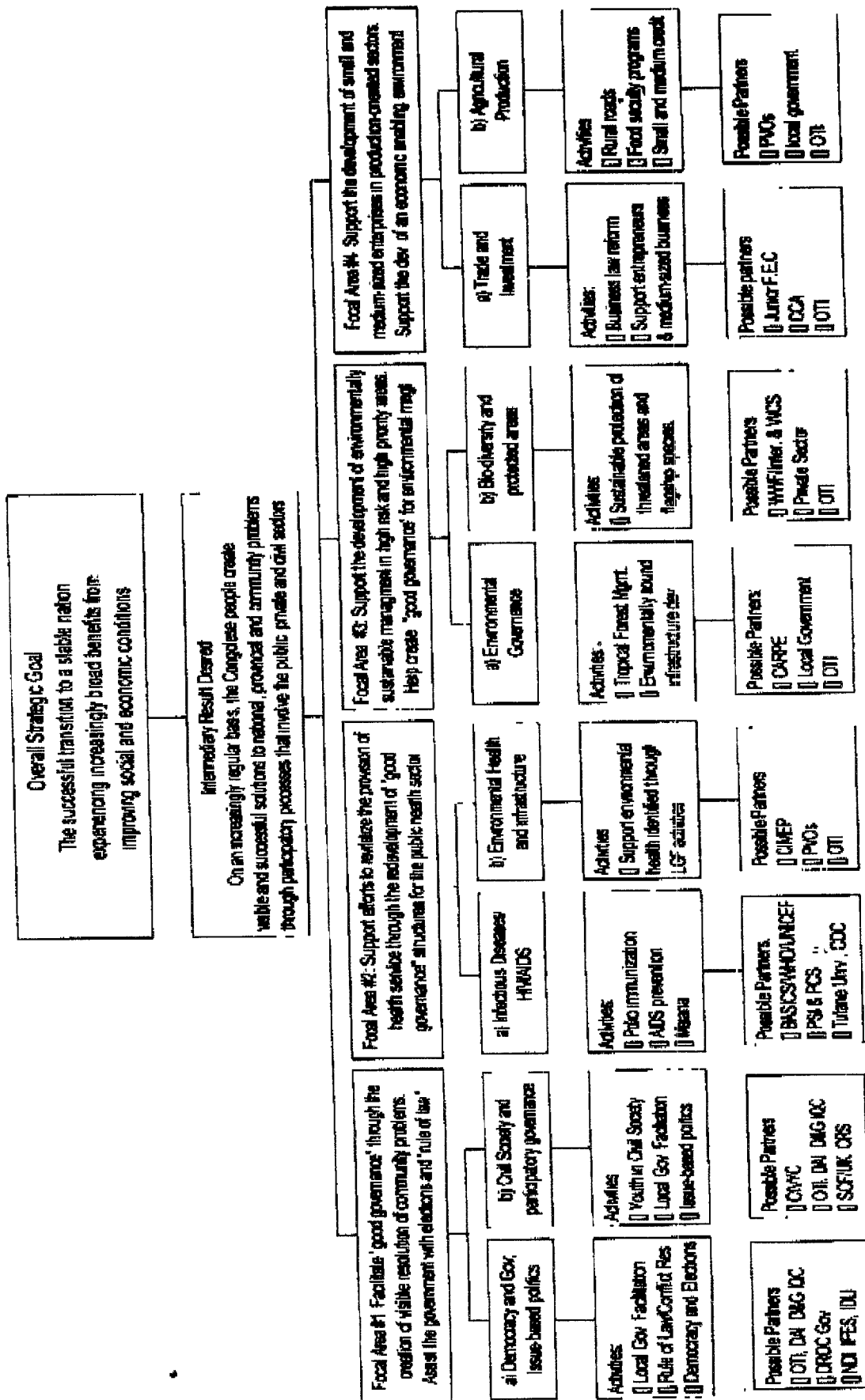
In identifying sectors for programming, the interests and core competencies of various stakeholders need to be taken into account. These stakeholders include the Government of the DROC, the U.S. Government and its foreign policy interests, and the interests and priorities of USAID, both world wide as well as in the Congo. The DROC National Government has expressed its priorities in two key documents: a three-year plan ("Le Plan Trienniel") and the "Economic Stabilization Plan" that was presented at the Friends of the Congo meeting in December 1997. Key themes of the plan are the rebuilding of physical infrastructure, especially roads, and the building of effective public sector institutions. The U.S. Mission in the Congo has identified its key interests and is in the process of developing a Mission Performance Plan (MPP). Please see the chart in Attachment "A" for a generalized description of the key interests of these stakeholders.

Given the uncertainties of developments within the Congo and the restricted avenues for direct US assistance, the strategy proposed is to focus USAID resources on four critical areas of concern in a mutually reinforcing fashion. The four areas are: democracy and governance, health and social welfare, environmental management and economic development.

As noted below, USAID's OTI office has already established three field offices that are supporting local and regional transition activities. Wherever possible, mission programming will assist and build on the excellent work already taking place by OTI in the field. For example, initiatives which OTI is funding on a small scale today might be ready for expansion and larger scale funding in a year or two. Numerous such collaborative programming and funding possibilities are noted throughout this document.

For each sector, the plan notes: the overall sector objective, planned and/or possible activities, and key issues of concerns. Please refer to the Activity Chart (next page) and the Program Budget (Attachment C) for an overview of the objectives and activities.

USAID/ D.R. Congo Action Plan



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A. Democracy, Government Responsiveness and Civil Society:**1. Overall objective in the area:**

Facilitate "good governance" through the creation of visible, successful resolution of community problems. Assist the public, private and civil sectors in working together at the community, municipal, provincial and national levels. Assist all levels of government with implementation of elections, "rule of law" and effective administration.

2. Planned and/or possible activities:**a) Local Governance Facilitation (LGF):**

Support open and broad participatory local governance (involving all sectors - not just the government) to identify needs and develop solutions to local problems. Help communities access the resources of USAID, the national government, and other donors.

Through OTI these efforts have already begun in five of the eleven provinces of the country. The LGF program strategy would:

- 1) build on the efforts that have already begun through the OTI field offices by providing additional resources and technical support as appropriate;
- 2) prepare for continuing OTI's work, once OTI's mandate is finished;
- 3) work with OTI/DAI to identify additional regions for possible expansion; and
- 4) develop a program for the sustainable adaptation of LGF without foreign assistance.

b) Democratization and issue-based politics:

OTI has already supported regional reconstruction conferences for the participatory establishment of development priorities. A planned national reconstruction conference has been indefinitely suspended. The GDRCC continues to work, however, on constitutional development and plans for elections. Next steps might include the selection of a constituent assembly that will be charged with reviewing and revising the draft constitution. A national referendum on the constitution is scheduled for later this year, and elections are scheduled for 1999. In the meantime citizen education on both the mechanism and substance of decision-making through elections is needed.

Funds would be used in support of these and any other appropriate activities. Efforts could include support of US-based NGOs such as NDI and IFES. IFES is planning to establish a resource center here in the coming months. If effectively managed, this presence will help position USAID and IFES to gear up for support of elections. If USAID is to be capable of adequately responding, money must be set aside for rapid use in these activities when (and if) the opportunity materializes. Funding in these areas will require substantial coordination with the government and with other major donors. It will also require "risking" that opportunities may not develop as hoped.

Any democratization activity must take account of the historic African concern and experience that classic western style partisan political processes have become easy targets for non-productive communitarian competition. USAID activities should highlight how democratic process can be used to reach consensus and mutually accepted priorities and assist in assuring the equitable allocation of resources. Particularly useful would be efforts that helped address cross-group and class issues (such as needs of women and youth) and helped foster cross community coalitions for shared objectives. For democracy to succeed it must be an avenue for peace and be so perceived by all.

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c) Rule of Law and Conflict Resolution:

1) Technical Assistance for the establishment and operation of institutions for the "Rule of Law." Funds would be used to increase the capacity of key existing institutions such as the Ministry of Justice. This could include training and technical assistance for key personnel, provision of basic materials, and exchange activities. Activities could take place in the capital as well in the regions and cities. Other technical assistance and training could focus on helping to stabilize the economy, promote private sector-led economic growth, reduce corruption, increase transparency in financial dealings and liberalize the investment environment.

2) Arbitration and mediation Assistance could be given, both nationally and locally, to the private and public sectors for development of effective conflict resolution mechanisms. Activities could include working with professional associations on sector-based arbitration and mediation mechanisms. Pilot projects could be integrated to include working with courts, prosecution, the bar association, and other NGOs. (These activities could also tie into private sector initiatives discussed in section "D" below.)

3) Demand for Justice. Governmental institutions by their nature should respond to the desires of their citizenry. The expectations and demands of citizens is a critical factor in pressuring for and protecting "Rule of Law" (ROL) within a society. Such demands must not conflict with the proper exercise of government powers but be constructive supporters and protectors of good governance practices. An informed responsible press, community councils, and civic education are all means that can empower citizens to take responsibility for assuring an ROL society.

d) Increasing the Participation of Youth in Civil Society:

A majority of youth and children in the Congo are considered to be at high risk of growing into adulthood without the basic skills and capacities to meaningfully participate in the social, economic and political activities in their communities. Effective democracy and good governance must engage with youth regarding their rights and responsibilities in society. A proposed "Congo Initiative for Vulnerable Youth and Children" (CIVYC) would begin by supporting broad interventions targeted at three key sectors (family, community and government). The interventions will have a significant impact on the ability of these sectors to provide youth and children the values and capacities to become responsible adults.

The first activities would take place in the East, in coordination with the OTI program. The East is where children were most severely affected by the fighting in recent years. Opportunities for initial activities in Kinshasa and maybe Kisangani would also be pursued. These initial activities will be used to plan a broader program in the coming years. This initiative could be coordinated with USAID supported AIDS education directed at heightening personal and family responsibilities.

3. Issues:

- a) Implementing activities in this area requires working with the DROC government.
- b) Non-traditional opportunities need to be investigated (e.g. the use of radio)
- c) USAID global governance projects need to be utilized as much as possible.
- d) Determining and limiting the regions in which to work is sensitive and complicated

Integrated Transition Plan (ITP) USAID / DR Congo DRAFT April 29, 1998 16:52**B. Health****1. Overall objective:**

Support efforts to revitalize the provision of health services through the redevelopment of effective local, regional and national "good governance" structures for the public health sector. Support efforts to increase individual rights and responsibilities in health care. Help rebuild public health infrastructure, with a focus on global health issues.

2. Proposed and/or possible activities:**a) Support efforts that facilitate good governance and effective public health care:**

1) Polio – National Immunization Days: Currently USAID helps fund the polio eradication program. The implementation of this effort will also contribute to strengthening the routine Expanded Immunization Program and local health zones. Current partners include BASICS, UNICEF and WHO. This national campaign will help revitalize local health committees and regional coordination.

2) Surveillance of infectious diseases: Work with WHO and CDC to build on the current polio surveillance system. Build capacity of local health committees and systems.

3) Environmental Health: Water and Sanitation: Through future programming and through opportunities that may arise in working collaboratively with OTI, foster broader community building health initiatives (Possible Global resource CTMEP)

b) Individual rights and responsibility in public health

1) AIDS/HIV Condom Social Marketing: Ministry of Health professionals who are responsible for coordinating HIV/AIDS activities in the Congo indicate that the number one priority is condom social marketing and messages directed to at-risk populations, particularly the youth. Possible partners include: PSI (which has a Kinshasa office that used to distribute 20 million condoms a year) and PCS (Population Communication Services) through Family Health Associates (FHA) West Africa Project.

2) Family Planning and Reproductive Rights: Future programs are needed in this area.

c) Public health infrastructure – fighting diseases in a rapidly changing world.

1) Infectious diseases – Malaria prevention: Malaria is reported to be the number one killer of children under five in the Congo and is the number one cause of morbidity in the general population. The MOH, WHO and UNICEF have identified malaria to be a priority area of interest. USAID/DROC needs the help of malaria specialists (from USAID, CDC, WHO) to work with the local WHO and other actors to develop an effective program for the Congo.

2) The School of Public Health in Kinshasa was supported by USAID in the past and despite the social upheaval in the Congo and the lack of support during recent years, the School has continued to function because of the dedication of its staff and limited help from Tulane University. The School plays an important role in the Congo and has been designated as "the privileged partner" by the GDROC in developing national health policy. It has the ability to impact on health practice in the Congo with its contribution to operational research. Support could be provided from Tulane University through the FHIA West Africa Project.

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C. Environment**1. Overall objective:**

Support the development of environmentally and economically sustainable management in high risk and high priority areas. Help create a "good governance" model for the management of Congo's tropical forest areas and for the protection of areas and species.

2. Possible and/or planned program activities**a) Sustainable tropical forestry governance**

Together with the Amazon, the Congo River basin contains the world's last major tropical forest system. Its value to the country and to the world is not fully appreciated. Ironically, the isolation caused by the Congo's collapsed economic system has helped preserve it. Equally ironically, efforts to revitalize the economy, generate revenues and re-establish the transportation infrastructure will bring intense pressure for expanded extraction in the timber sector.

With good governance, the DRC's large forest estate could support a substantial volume of economic activity related to forest products, while preserving long-term benefits for future generations. A possible partner for this work is the USAID regional CARPE program which attempts to address USAID's sustainable tropical forestry objectives in an integrated fashion. One cross-sector approach would be "appropriate road development."

b) Bio-diversity:

The Congo's unique environmental resource base contains an array of known and unknown biological resources of both immediate and potential richness. Most obvious are already endangered large mammal "flagship" species, such as the mountain gorilla, the white rhino, the bonobo, and the okapi. All are demonstrable elements of a potentially prosperous tourist industry. All are already endangered and their habitat further threatened by fighting, mass population movements, and irresponsible deforestation. Less obvious but potentially more valuable economically are a vast array of other forest species, plant as well as animal, including microbes, that remain to be discovered. The former need protection through new forms of governance of devastated and threatened national parks and non-park areas, both by government, local communities and international partners including NGOs and reputable private sector actors. The latter require partnership with ethical international organizations and businesses through sophisticated treaty and other arrangements. Both require a new awareness on the part of Congolese and the creation of Congolese professional capacities to institutionalize protection of Congolese interests in a global economy. In all of this, sustainable economic benefits to participating communities is vital.

3. Issues:

Links to other sectors. The community building efforts required for sustainable park and species protection could provide a useful focus for some Local Governance Facilitation. Sustained forest management can have important implications for infrastructure development, including roads, and for small and medium enterprise development.

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D. Inclusive Economic Development

1. Overall objective.

Support the development of small and medium-sized enterprises in the production-oriented manufacturing and service sectors. Work at all levels (national, provincial, municipal and community) to assist in the development of economic structures and activities that bring together different stakeholders. Support the building of an enabling environment, including physical infrastructure, necessary for the relaunching of the Congolese economy. Support transparency and effective management in economic activity.

2. Possible and/or planned activities.

The national government has a role in providing an enabling environment that facilitates economic activity, and assistance should be provided as opportunities arise. But economic opportunity and priorities will vary greatly in this vast country, from region to region and from community to community. As with "Local Governance Facilitation," "**Local Economic Facilitation**" should help communities and regions (governments, civil society and the private sector) identify needs in the economic sector and develop solutions to local problems.

The following are examples of activities that USAID might support as a result of priorities identified through "local economic facilitation." Additional study and programming help is needed in this sector.

a) Rural Productivity - Marketing and road

Activities might include, developing key farm-to-market rural roads, assisting with the development of financial mechanisms for farmers (including credit and cooperative marketing), and supporting value-added food-processing efforts at the local level.

b) Productivity and income - small and medium enterprise development

Support NGOs and existing local credit systems that have the potential to assist the entrepreneurial efforts of small and medium sized businesses. Alternative credit systems could have a significant role to play in Congo given the weakness and lack of credit available from the mainstream financial services sector.

c) Trade and investment - policy development

Support the policy reform and service provision role of legitimate business associations that assist their memberships equally. Encourage the emergence of regional business associations that can play a role in trade and investment promotion as well as link with U.S. counterparts.

3. Issues

Decisions must be made about where to work first (geographically and sectorally). OTI activities should be given priority.

Possible partners include (in addition to all of the generic categories listed in this section): Junior "Fédération des Entreprises Congolaises" (FEC), regional and municipal business associations, and local governments.

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V. BUREAU OF HUMANITARIAN RESPONSE (BHR)

The DRC is undergoing an uneven transition both politically and economically. As such, the country remains deeply vulnerable to a range of natural and man-made disasters at the same time that reconstruction efforts are being undertaken. The mission will have to rely on the Bureau of Humanitarian Response to support a range of emergency and transition activities through the Office of Foreign Disaster Assistance and the Office of Transition Initiatives. Food for Peace activities, if any, are likely to be minimal.

A. Office of US Foreign Disaster Assistance (OFDA)

Under the FY98 civil conflict disaster declaration, there are a portfolio of humanitarian activities in the health and agriculture sectors focused in the Kivu's and Maniema and implemented through international NGOs. Most of these activities will be completed this fiscal year. The situation in the region remains problematic and while at present the mission does not anticipate continued OFDA funding in FY99, events could necessitate a disaster declaration for FY 99 and subsequent funding of emergency humanitarian activities. The demands of regular program development, however, will severely limit USAID/DROC's ability to directly support and monitor such activities. Punctual disaster assistance may be required for natural disasters. Already USAID has responded to two flood-related disasters.

B. The Office of Transition Initiatives (OTI)

The Office of Transition Initiatives forms a critical element of the USAID's start-up strategy in the DRC. Through funding from OTI, in August 1997, three field offices were opened in Katanga, the Kasai's and the Kivu's giving USAID coverage of five of the eleven provinces in the country. Each office is headed by a USPSC and supported through an institutional contractor, DAI. The centers work with both governmental and non-governmental actors to promote mutually beneficial relations between governmental actors and the vibrant and dynamic Congolese civil society. The centers provide small grants for priority activities that provide visible evidence of the transition taking place in the DRC. Activities are developed by community coalitions that include the actors noted above. The proposals must demonstrate broad-based community support and widely realized benefits which alleviate critical bottlenecks and/or strengthen institutions' capacities to manage events. Examples of activities funded under the centers can be found in an attached fact sheet. It is anticipated that OTI funding will be required through FY 99. As noted throughout this document, new programs will actively seek ways to support, collaborate with and build on OTI initiatives. OTI activities will also help in identifying long-term program opportunities.

C. The Office of Food for Peace (FFP)

The DRC is not naturally a food insecure country. If well managed, the agricultural sector could make the DRC the breadbasket for the region. Food security should be addressed by supporting local production and distribution systems and not by undermining the agricultural sector. The mission, therefore, does not plan to program PL 480 commodities. Even sensible use of food here (such as food-for-work for maintaining farm-market roads in certain particularly vulnerable areas) would entail high transport costs from port to inland destinations. Some FFP resources may be needed for humanitarian assistance, but these should be programmed through WFP as part of its regional program. The USAID mission would require occasional visits from a FFP Officer to monitor this type of intervention.

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Integrated Transition Plan (ITP) - USAID / D.R Congo DRAFT April 29, 1998 16 52**IX. RESOURCES NEEDED****A. Human resources (Here and in Washington)****1. DRC - staffing plan: (See Attachment "B ")****2. Technical support needed**

At its height, the past USAID/Zaire program had approximately \$32 million Development Assistance funding in one year, and over 100 mission staff. USAID foresees a modest presence of approximately 26 staff. Successful program design and implementation at early stages is staff intensive. Significant technical assistance will be needed.

3. Global program help

Because the Global Bureau was involved from the beginning and has many needed capacities, a clear partnership between USAID/Global and USAID/DROC has begun and should expand. This partnership must include contractors and grantees in developing common ownership of agendas and desired outcomes. Central contractors and grantees must adjust their practice to match each other and overall mission realities (i.e. use common mission determination of rates, benefits, etc.) USAID/DROC will consider a separate support project to assure central project personnel have the local logistical support needed to assure both their security and their success.

B. Financial Resources**1. Program budget: (See Attachment "C.")**

From the inception of the new government many demands and promises have been made in terms of funds needed and available to address the nation's difficulties. The proposed budget reflects these. However, substantial questions exist as to the nation's ability to absorb different levels of different types of assistance. Frustration from little action and much need must be met with sobriety as to expectations. Ambitious but judicious actions now are preferable to exuberant but unrealistic plans.

2. Waivers

Planning, program development and provision of actual assistance are fundamentally affected by the uncertainty regarding waiver requirements (e.g. of Brooke and of Faircloth).

Currently, there are only seven areas, in three categories, exempt from waiver requirements:

- a) Health (child survival, HIV/AIDS and family planning);
- b) Victims of war and displaced children; and
- c) Environment (tropical forestry and reducing emissions of greenhouse gases and biodiversity conservation activities).

Assistance, including government-to-government assistance, can be provided in these areas. In addition, OFDA and OTI are exempt from these restrictions.

The USAID Administrator can waive restrictions if the proposed work is with an NGO for its own programs. It's important to remember, however, the already highlighted dangers of

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VIII. MEASURING IMPACT AND RESULTS**1. Intermediate Result Desired:**

On an increasingly regular basis, the Congolese people create visible and successful solutions to national and community problems through participatory processes that involve the public, private and civil sectors.

2. Caveats, disclaimers and complications re the measuring of results in transition situations.

Results must be tangible, measurable and predictable. Unstable environments therefore present a significant challenge because . . . focus on quantifiable results may be counterproductive. A system that demands quantifiable results tends to discourage risk taking and pilot activities. Flexibility is thus inhibited in a situation where experimentation with approaches and partners is the only way to determine the viability of longer-term approaches. (USAID/AFR)

[In transition situations,] 'managing for results' takes on new meaning. It means a willingness to be patient. It means flexibility in order to be responsive to changing conditions - a situation that makes setting future targets difficult. It means a willingness to revisit programs and risk not achieving results for the year. (USAID/AFR)

In a country where even basic population estimates are +/- 20%, it is extremely difficult at present to develop the baseline data required to propose baselines and measure results. The USAID/AFR paper from which the above excerpts were taken suggests several tools for measuring impact in transition situations. Examples of how these tools might be applied to this strategic plan follow.

a) Ex-post performance measurement try to assess and account for program impact after it has occurred. (Seek case study information about how the Local Governance Facilitation processes led communities to solving additional problems collectively and with local resources.)

b) Incremental planning use short timeframes, with rapid assessment of targets (e.g. Reevaluate the goals of the polio national vaccination day whenever new information suggests that current targets are off the mark.)

c) Evaluations and/or rapid assessments -- do a rapid assessment of reactions of participants to condom social marketing efforts.

In addition we can look at developing trends

a) More good governance throughout society (i.e. transparency, participation, and effective management; debates focused on issues not on personalities; more decisions made at the local level).

b) Increasing social and economic benefits tangible benefits for the population as a result of this good governance

As the AID/AFR paper notes, it's impossible to prove the negative. With so many variables and unknowns, it may be difficult to ascribe precise results to precise program activities. How to successfully measure impact will be an ongoing challenge of the USAID/DRC's mission

Integrated Transition Plan (ITP) USAID / D.R Congo DRAFT April 29, 1998 16.52**VI. THE FRIENDS OF CONGO PROCESS****A. World Bank Trust Fund**

The World Bank and the Congolese Government have proposed a Trust Fund to finance activities in social sectors such as health, education, water and sanitation. The target funding level of US\$ 100 million has not yet been achieved. The US plans to commit US\$ 10 million of ESF funds to the Fund.

Given the Bank's interest in starting up in Bukavu and other locations where donors have a presence, there is an effort to seek to build upon what already exists and to harmonize and complement activities and approaches. The Bank may, in particular, seek to expand the institutional contract currently in place with DAI to accomplish this objective.

USAID/DROC would like to see World Bank and USAID coordinate on major operational approaches and collaborate outside of the Trust Fund in terms of providing complementary support to infrastructure and policy activities. There should also be consideration of Trust Fund donor oversight moving to the country level.

B. Capacity Building Working Groups

Part of the Friends of Congo "process" is to assist the DRC to increase management and technical capacity within different sectors. Ten areas have been identified by UNDP, covering the main economic and social sectors of the country, and a ministry focal point for each has been assigned. The groups will begin meeting with interested donors and over a period of time will work to identify where specific support can be oriented to boost the performance of the ministries (training, technical advisors, etc.). USAID, as well as the Embassy, within staff limits, will try to follow the work of these commissions. Funding of up to USD one million could be given for identified activities. USAID is concerned that emphasis be given to revitalizing and applying existing Congolese capacities before making major investment in creating new ones. Besides efficiency, there is a need for the GDROC to indicate that it wants, and can use, professional technical expertise on a regular basis.

VII. REGIONAL INITIATIVES

The launching of the Great Lakes Justice Initiative will have an important multiplier effect to the mission's DG program. The staffing and funding implications of this will have to be managed as events unfold. Absorptive capacity may be a major problem.

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working only with NGOs. Broad efforts to support civil society at the exclusion of the government could exacerbate tensions between those two sectors, and be counterproductive.

The U.S. pledge of money for the Trust Fund is highly visible and should leverage other donor contributions. To the extent that waivers can be obtained, release of the Trust Fund money should be a high priority.

Efforts will be made to program money in 1998, with a focus on exempt activities, and some initial work with NGOs. A substantial amount of the two-year money budgeted for 1998 will have to be obligated in 1999 once the status of these issues is clearer. (Two-year money exists precisely because of such realities.) (See section below and Attachment "C.")

3. Operating expenses: (See Attachment "D") [Note still being prepared]

Please note that in addition to high local costs, present restrictions prevent using program funds to cover certain costs at this time. Moreover, continued serious personnel security issues require more than normal support functions.

C. Communication and procurement challenges

The Congo today is characterized by limited access and communications. Agency modernization in fact is widening the gap between its general operations and those working under arduous situations. Normal procedures and best practices cannot often be followed. IRM is actively seeking to provide alternative communication solutions. Every effort will be made to do procurement based on the objectives of achieving the aims of the US Foreign Assistance Act and of USAID. Regional support in contracting, procurement and legal services will be needed during the transition period to effectively apply these objectives to the reality of the Congo.

D. Legal and Best Practices Authorities

Given the unusual situation under which it is working, USAID/DROC needs official recognition of its approach to pragmatic adaptation of USAID guidelines. In addition, the USAID mission needs strong creative legal support in the field to begin to put in place the pieces that can lead to a more normal operational structure. A special memo will be submitted, under separate cover, to present specific concerns and proposed responses.

X. CONCLUSION

President Clinton, in his recent trip to Africa, acknowledged the need for new terms of engagement between the U.S. and African countries. The President recognized the price of international failure to respond appropriately in the Rwandan crisis; called for a new agenda of trade and development, and spoke out in support of emerging democracy. African leaders, in the signing of the Entebbe Agreement, expressed their agreement with these ideas.

The terms of this new engagement were summarized by the President:

It used to be what can we do for Africa or whatever can we do about Africa. The right question is what can we do with Africa.

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XI. ATTACHMENTS

A. Chart of Stakeholder Interests

B. Staffing Plan - Personnel Chart

C. Program Budget

D. Operating Expense Budget

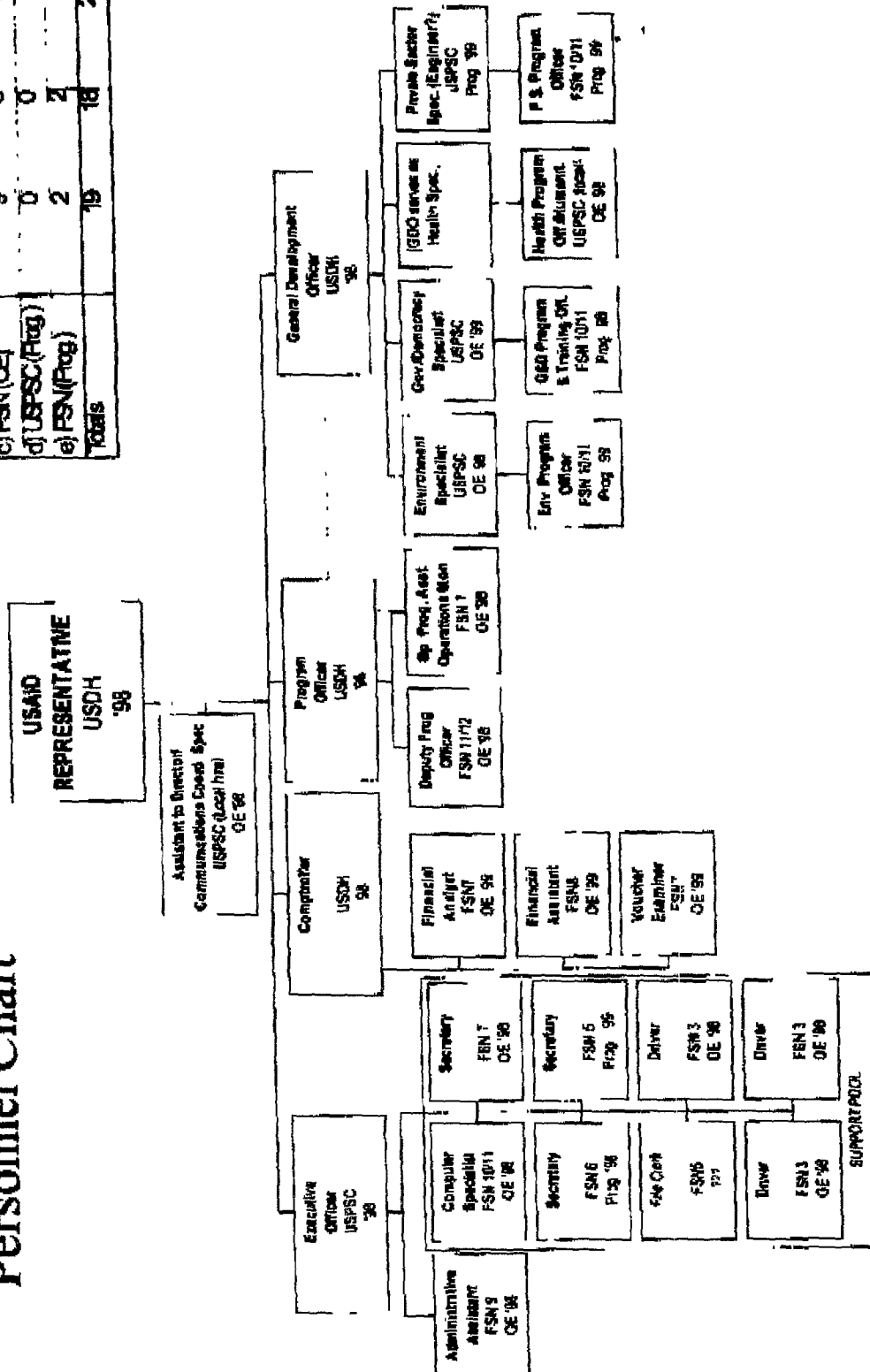
E. Resource List

Attachment A		U.S. National Interests (SPIA)	U.S. Foreign Policy Interest in the Congo	USAID/W Interests	US Mission to Congo (MPPS)	USAID Mission to Congo	DROC Gov	Others
CHART OF STRATEGIC INTERESTS								
US National Security Local and regional stability U.S. Citizens and Borders Law Enforcement Rule of Law	US National Security	x			x	x	x	
	Local and regional stability	x	x		x			
	U.S. Citizens and Borders	x						
	Law Enforcement	x				x		
Democracy Elections Human Rights	Democracy	x	x	x	x	x	x	
	Elections	x	x	x	x	x		
	Human Rights		x		x			
Economic Prosperity Open Foreign Markets Global Economic Growth	Economic Prosperity	x	[x]		x		x	
	Open Foreign Markets		x		x	x		
	Global Economic Growth		x	x				
Health Education Agriculture Infrastructure	Health			x		x	x	
	Education			x			x	
	Agriculture			x		x	x	
	Infrastructure			x		x	x	
Global Issues Infectious diseases Env/Tropical forests Env/Global warming	Global Issues	x	[x]			x		
	Infectious diseases		x	x		x		
	Env/Tropical forests		x	x		x		
	Env/Global warming		x	x				
Humanitarian Response Population	Humanitarian Response	x	x		x	x		
	Population		x					

Personnel	PSB/APP	PSB/OB	PSB/APP	PSB/OB
a) USDH	4	4	4	4
b) USPSC(OE)	4	4	4	4
c) FSN(OE)	9	8	11	11
d) USPSC(Prog)	0	0	2	2
e) FSN(Prog)	2	2	3	3
Totals	19	18	28	28

Attachment B

USAID Congo Projected Personnel Chart



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USAID - Congo	Draft summary of resource allocation and available resources						24/04/98 13:17
	A	B	C	D (B+C)	E	F (C+E)	G
	FY97	FY98 oblig 98	FY98 oblig 99	FY98 Total Budget	FY99 Request	1999 request 98 oblig in 99	FY2000 Preliminary
Dev. Assistance (DA)							
Democracy and Governance							
1. Local Governance Facilitation		500 000	3 000 000	3 500 000	2 500 000	5 500 000	2 500 000
2 Resp. Gov Process & Dem.							
a. Rule of Law			2 000 000	2 000 000		2 000 000	
b. Elections & Political Processes			2 000 000	2 000 000		2 000 000	
c. Civil Society			500 000	500 000		500 000	
d. Governance			1 000 000	1 000 000		1 000 000	
Total Resp. Gov Proc. & Dem	2 000 000	0	5 500 000	5 500 000	2 000 000	7 500 000	2 000 000
Total D&G	2 000 000	500 000	8 500 000	9 000 000	4 500 000	12 000 000	4 500 000
Health							
1. Child Survival - polio							
a. BASICS	?	500 000		500 000			
b. WHO	?	500 000		500 000			
c. UNICEF	?	1 000 000		1 000 000			
Subtotal - polio	3 000 000	2 000 000		2 000 000	2 000 000	2 000 000	2 000 000
2 Child Survival - war victims		1 000 000		1 000 000	1 000 000	1 000 000	1 000 000
3 Child Survival - other							
a. MEDS		500 000		500 000			
b. Tech. Asst. Sup		100 000		100 000			
c. BASICS		300 000		300 000			
d. UNICEF		300 000		300 000			
e. School of Public Health			800 000	800 000	800 000	1 600 000	800 000
f. Other		0		0	1 200 000	1 200 000	2 200 000
Subtotal - Other Child Survival		1 200 000	800 000	2 000 000	2 000 000	2 800 000	3 000 000
2. HIV/AIDS		1 000 000		1 000 000	2 000 000	2 000 000	3 000 000
3 Infectious Diseases		1 000 000		1 000 000	1 000 000	1 000 000	1 000 000
4 Other Health		0		0	1 000 000	1 000 000	2 000 000
Total Health	3 000 000	6 200 000	800 000	7 000 000	9 000 000	9 800 000	12 000 000
Population							1 000 000
Environment		1 000 000		1 000 000	3 800 000	3 500 000	3 800 000
Economic Growth		500 000	2 500 000	3 000 000	3 000 000	5 500 000	5 000 000
Total Amount - DA	5 000 000	8 200 000	11 800 000	20 000 000	20 000 000	31 800 000	26 000 000
ESF							
Trust Fund		6 000 000	3 000 000	9 000 000	7 000 000	10 000 000	
TA - D/G	500 000	1 000 000		1 000 000			
Total Amount - ESF	500 000	7 000 000	3 000 000	10 000 000	7 000 000	10 000 000	
TOTAL AMOUNT - DA+ESF	5 500 000	15 200 000	14 800 000	30 000 000	27 000 000	41 800 000	26 000 000
Other items	1997	1998		1998	1999	1999	2000
Regional Hub/ OTI	10 000 000	10 000 000		10 000 000	10 000 000	10 000 000	?
Emergency Asst / OFDA	10 364 102			3 016 542	0		
PL 480	No funds requested because of high cost of food transport						

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Attachment E.RESOURCE LIST

- 1 USAID "Congo Assessment Team Report," August 1997
- 2 Memorandum from Lynn Gorton, G/PI/N to John Grayzel, USAID/DRC of April 2, 1998.
- 3 "USAID Assessment and Economic Growth Strategy: Congo," April 1998, prepared by J.E. Austin Associates.
- 4 Draft Strategic Plan, "Environmental Governance in the Democratic Republic of Congo: Partnerships for Regional Management of Natural Resources," by J. J. Swartzendruber, CARPE, March 1998
- 5 Memorandum on Children and Youth from Lloyd Feinberg, March, 1998
- 6 Justice Sector study
- 7 Excerpts from USAID's Bureau for Africa Development Program's "Presentation on Transition Programs" by Ricki Gold, , 1998
- 8 GIDROC "Triennial Plan"
- 9 GIDROC "Economic Recovery Plan" presented to "Friends of the Congo," December 1997
- 10 Report of ICCN Workshop
- 11 Preliminary report of South Kivu Reconstruction Conference